

Maximal right smooth extension chains

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Abstract. If $w = u\alpha$ for $\alpha \in \Sigma = \{1, 2\}$ and $u \in \Sigma^*$, then w is said to be a *simple right extension* of u and denoted by $u \prec w$. Let k be a positive integer and $P^k(\varepsilon)$ denote the set of all C^∞ -words of height k . Set $u_1, u_2, \dots, u_m \in P^k(\varepsilon)$, if $u_1 \prec u_2 \prec \dots \prec u_m$ and there is no element v of $P^k(\varepsilon)$ such that $v \prec u_1$ or $u_m \prec v$, then $u_1 \prec u_2 \prec \dots \prec u_m$ is said to be a *maximal right smooth extension (MRSE) chains* of height k . In this paper, we show that *MRSE* chains of height k constitutes a partition of smooth words of height k and give the formula of the number of *MRSE* chains of height k for each positive integer k . Moreover, since there exist the minimal height h_1 and maximal height h_2 of smooth words of length n for each positive integer n , we find that *MRSE* chains of heights $h_1 - 1$ and $h_2 + 1$ are good candidates to be used to establish the lower and upper bounds of the number of smooth words of length n respectively, the method of which is simpler and more intuitionistic than the previous ones.

Keywords: smooth word; primitive; height; *MRSE* chain.

1. Introduction

Let $\Sigma = \{1, 2\}$, Σ^* denotes the free monoid over Σ with ε as the empty word. If $w = w_1w_2 \cdots w_n$, $w_i \in \Sigma$ for $i = 1, 2, \dots, n$, then n is called the length of the word w and denoted by $|w|$. For $i = 1, 2$, let $|w|_i$ be the number of i which occurs in w , then $|w| = |w|_1 + |w|_2$.

Given a word $w \in \Sigma^*$, a *factor* or *subword* u of w is a word $u \in \Sigma^*$ such that $w = xuy$ for $x, y \in \Sigma^*$, if $x = \varepsilon$, then u is said to be a *prefix* of w . A *run* or *block* is a maximum factor of consecutive identical letters.. The *complement* of $u = u_1u_2 \cdots u_n \in \Sigma^*$ is the word $\bar{u} = \bar{u}_1\bar{u}_2 \cdots \bar{u}_n$, where $\bar{1} = 2, \bar{2} = 1$.

The Kolakoski sequence K which Kolakoski introduced in [13], is the infinite sequence over the alphabet Σ

$$K = \underbrace{1}_1 \underbrace{22}_2 \underbrace{11}_2 \underbrace{2}_1 \underbrace{1}_1 \underbrace{22}_2 \underbrace{1}_1 \underbrace{22}_2 \underbrace{11}_2 \underbrace{2}_1 \underbrace{11}_2 \underbrace{22}_2 \cdots$$

which starts with 1 and equals the sequence defined by its run lengths.

I would like to thank Prof. Jeffrey O. Shallit for introducing me the Kolakoski sequence K and raising eight open questions on it in personal communications (Feb. 15, 1990), the fourth and eighth problems of them are respectively as follows:

(1) Prove or disprove: $|K_i|_1 \sim |K_i|_2$, which is almost equivalent to Keane's question.

(2) Prove or disprove: $|K_i| \sim \alpha(3/2)^i$ (This would imply (1)), where α seems to be about 0.873. Does $\alpha = (3 + \sqrt{5})/6$?

where $K_0 = 2$ and define K_{n+1} as the string of $1'$ and $2'$ obtained by using the elements of K_n as replication factors for the appropriate prefix of the infinite sequence $1212 \cdots$.

The intriguing Kolakoski sequence K has received a remarkable attention [1, 3, 5, 11, 15, 16]. For exploring two unsolved problems, both whether K is recurrent and whether K is invariant under complement, raised by Kimberling in [12], Dekking proposed the notion of C^∞ -word in [6]. Chvátal in [4] obtained that the letter frequencies of C^∞ -words are between 0.499162 and 0.500838.

We say that a finite word $w \in \Sigma^*$ in which neither 111 or 222 occurs is *differentiable*, and its *derivative*, denoted by $D(w)$, is the word whose j th symbol equals the length of the j th run of w , discarding the first and/or the last run if it has length one.

If a word w is arbitrarily often differentiable, then w is said to be a C^∞ -word (or *smooth word*) and the set of all C^∞ -word is denoted by \mathcal{C}^∞ .

A word v such that $D(v) = w$ is said to be a *primitive* of w . Thus 11, 22, 211, 112, 221, 122, 2112, 1221 are the primitives of 2. It is easy to see that for any word

$w \in \mathcal{C}^\infty$, there are at most 8 primitives and the difference of lengths of two primitives of w is at most 2.

The *height* of a nonempty smooth word w is the smallest integer k such that $D^k(w) = \varepsilon$ and the height of the empty word ε is zero. We write $ht(w)$ for the height of w . For example, for the smooth word $w = 12212212$, $D^4(w) = \varepsilon$, so $ht(w)=4$.

2. Maximal right smooth extension chains

Let \mathcal{N} be the set of all positive integers and $P^k(\varepsilon)$ denote the set of all smooth words of height k for $k \in \mathcal{N}$, then

$$P(\varepsilon) = \{1, 2, 12, 21\}, \quad (1)$$

$$P^2(\varepsilon) = \{121, 212, 11, 22, 211, 122, 112, 221, 2112, 1221, 1211, 12112, 2122, 21221, 1121, 21121, 2212, 12212\}. \quad (2)$$

Definition 1. Let $w, u, v \in \Sigma^*$ if $w = uv$, then w is said to be a right extension of u . Especially, if $v = \alpha \in \Sigma$, then w is said to be a simple right extension of u , and is denoted by $u \prec w$.

Definition 2. Let $u_1, u_2, \dots, u_m \in P^k(\varepsilon)$, where $k \in \mathcal{N}$.

$$u_1 \prec u_2 \prec \dots \prec u_m, \quad (3)$$

and there is no element v of $P^k(\varepsilon)$ such that

$$v \prec u_1 \text{ or } u_m \prec v,$$

then (3) is said to be a maximal right smooth extension (MRSE) chain of the height k . Moreover, u_1 and u_m are respectively called the first and last members of the MRSE chain (3).

Let H^k denote the set of all MRSE chains of the height k . For $\xi \in H^k$, $\xi = u_1 \prec u_2 \prec \dots \prec u_m$, the complement of ξ is $\bar{u}_1 \prec \bar{u}_2 \prec \dots \prec \bar{u}_m$, and is denoted by $\bar{\xi}$. It is clear that $\bar{\xi}$ is also a MRSE chain of the height k . In addition, for $A \subseteq H^k$, $\bar{A} = \{\bar{\xi} : \xi \in A\}$.

Definition 3. For $\xi \in H^{k+1}$, $\xi = u_1 \prec u_2 \prec \dots \prec u_m$, where $k \in \mathcal{N}$. If there is an element $\eta = v_1 \prec v_2 \prec \dots \prec v_n \in H^k$ such that u_1, u_2, \dots, u_m are all the primitives of v_1, v_2, \dots, v_n , then ξ is said to be a primitive of η .

For example, $\xi = 121 \prec 1211 \prec 12112 \in H^2$ is a primitive of $\eta = 1 \prec 12 \in H^1$, $\bar{\xi} = 212 \prec 2122 \prec 21221 \in H^2$.

For a set A , let $|A|$ denote the cardinal number of A . Next we establish the formula of the number of the members of H^k . For this reason, let

$$H_1^k = \{\xi \in H^k : \xi = u_1 \prec u_2 \prec \cdots \prec u_m \text{ and } \text{first}(u_1) = 1\}; \quad (4)$$

$$H_2^k = \{\xi \in H^k : \xi = u_1 \prec u_2 \prec \cdots \prec u_m \text{ and } \text{first}(u_1) = 2\}. \quad (5)$$

It immediately follows that

$$H_1^k = \bar{H}_2^k; \quad (6)$$

$$H^k = H_1^k \cup H_2^k; \quad (7)$$

$$|H_1^k| = |H_2^k|. \quad (8)$$

From (1) and (2) we have

$$H^1 = \{1 \prec 12, 2 \prec 21\}; \quad (9)$$

$$H_1^1 = \{1 \prec 12\};$$

$$H_2^1 = \{2 \prec 21\};$$

$$H^2 = \{121 \prec 1211 \prec 12112, 212 \prec 2122 \prec 21221, 11 \prec 112 \prec 1121, \\ 22 \prec 221 \prec 2212, 211 \prec 2112 \prec 21121, 122 \prec 1221 \prec 12212\}; \quad (10)$$

$$H_1^2 = \{121 \prec 1211 \prec 12112, 11 \prec 112 \prec 1121, 122 \prec 1221 \prec 12212\};$$

$$H_2^2 = \{212 \prec 2122 \prec 21221, 22 \prec 221 \prec 2212, 211 \prec 2112 \prec 21121\}.$$

Thus from (9) and (10), we see that every *MRSE* chain of height k is uniquely determined by its first member u_1 and each member of $P^k(\varepsilon)$ exactly belongs to one *MRSE* chain of height k for $k = 1, 2$ and

$$|H^2| = 3|H^1|. \quad (11)$$

Actually, the above result holds for every $k \in \mathcal{N}$.

Theorem 4. *H^k is stated as above. Then each member of $P^k(\varepsilon)$ exactly belongs to one *MRSE* chain of height k , that is, H^k gives a partition of the smooth words of height k and*

$$|H^k| = 2 \cdot 3^{k-1} \text{ for all } k \in \mathcal{N}. \quad (12)$$

Proof. We proceed by induction on k . From (11) it follows that (12) holds for $k = 1, 2$. Assume that (12) holds for $k = n - 1 \geq 1$.

Now we consider the case for $k = n$. Since for each $\eta = u_1 \prec u_2 \prec \cdots \prec u_m \in H_1^{n-1}$, from the definition 2 and (4), we see that $first(u_1) = first(u_2) = \cdots = first(u_m) = 1$, and $u_{i+1} = u_i \alpha$ where $i = 1, 2, \dots, m-1$, $\alpha = 1, 2$. Thus if $\alpha = 1$ then the two primitives $p(u_{i+1})$ of u_{i+1} are

$$\begin{aligned} p(u_{i+1}) &= \bar{\beta} \Delta_{\beta}^{-1}(u_{i+1}) \gamma \\ &= \bar{\beta} \Delta_{\beta}^{-1}(u_i) \bar{\gamma} \gamma \\ &= p(u_i) \gamma, \text{ where } \beta, \gamma \in \Sigma, \end{aligned}$$

so $p(u_i) \prec p(u_{i+1})$.

If $\alpha = 2$ then the four primitives $p_t(u_{i+1})$ of u_{i+1} are

$$\begin{aligned} p_t(u_{i+1}) &= \bar{\beta} \Delta_{\beta}^{-1}(u_{i+1}) \gamma^t \\ &= \bar{\beta} \Delta_{\beta}^{-1}(u_i) \bar{\gamma}^2 \gamma^t \\ &= p(u_i) \bar{\gamma} \gamma^t, \text{ where } \beta = 1, 2, t = 0, 1, \end{aligned}$$

hence $p(u_i) \prec p_0(u_{i+1}) \prec p_1(u_{i+1})$. Therefore, η has exactly two primitives and the primitives of u_1, u_2, \dots , and u_m all occur in the two primitives of η .

For example, $\eta = 121 \prec 1211 \prec 12112 \in H_1^2$ has exactly two primitives:

$$\mu = 121121 \prec 1211212 \prec 12112122 \prec 121121221 \text{ and } \bar{\mu}.$$

Analogously, we can see that each member η of H_2^{n-1} has exactly four primitives and the primitives of u_1, u_2, \dots , and u_m all occur in the four primitives of η .

For example, $\eta = 212 \prec 2122 \prec 21221 \in H_2^2$ has exactly four primitives:

$$\xi_1 = 22122 \prec 221221 \prec 2212211 \prec 22122112 \prec 221221121;$$

$$\xi_2 = 122122 \prec 1221221 \prec 12212211 \prec 122122112 \prec 221221121 \text{ and } \bar{\xi}_1, \bar{\xi}_2.$$

Thus, by the induction hypothesis, it follows from (7) and (8) that

$$\begin{aligned} |H^n| &= |H_1^n| + |H_2^n| \\ &= 2 \cdot |H_1^{n-1}| + 4 \cdot |H_2^{n-1}| \\ &= 3 \cdot (|H_1^{n-1}| + |H_2^{n-1}|) \\ &= 3 \cdot |H^{n-1}| \\ &= 2 \cdot 3^{n-1}. \quad \square \end{aligned}$$

3. The number of smooth words of length n

Let $\gamma(n)$ denote the number of smooth words of length n and $p_K(n)$ the number of subwords of length n which occur in K .

Dekking in [6] proved that there is a suitable positive constant c such that $c \cdot n^{2.15} \leq \gamma(n) \leq n^{7.2}$ and brought forward the conjecture that there is a suitable positive constant c satisfying $p_K(n) \sim c \cdot n^q (n \rightarrow \infty)$, where $q = (\log 3)/\log(3/2)$.

Recall from [18] that a C^∞ -word w is *left doubly extendable* (LDE) if both $1w$ and $2w$ are C^∞ , and a C^∞ -word w is *fully extendable* (FE) if $1w1, 1w2, 2w1$, and $2w2$ all are C^∞ -words. For each nonnegative integer k , let $A(k)$ be the minimum length and $B(k)$ the maximum length of an FE word of height k .

Weakley in [18] proved that there are positive constants c_1 and c_2 such that for each n satisfying $B(k-1) + 1 \leq n \leq A(k) + 1$ for some k , $c_1 \cdot n^q \leq \gamma(n) \leq c_2 \cdot n^q$.

It is a pity that we don't know how many positive integers n fulfil the conditions required. Set $\gamma'(n) = \gamma(n+1) - \gamma(n)$, Weakley in [18] gave

$$\gamma(n) = \gamma(0) + \sum_{i=0}^{n-1} \gamma'(i) \text{ for } n \geq 2. \quad (13)$$

Let $F(n)$ denote the number of LDE-words of height n , Shen and Huang in [14, Proposition 3.2] established

$$F(n) = 4 \cdot 3^{n-1} \text{ for each positive integer } n. \quad (14)$$

Huang and Weakley in [9] combined (13) with (14) to show that

Theorem 5 ([9] Theorem 4). *Let ξ be a positive real number and N a positive integer such that for all LDE words u with $|u| > N$ we have $|u|_2/|u| > (1/2) - \xi$. Then there are positive constants c_1, c_2 such that for all positive integers n ,*

$$c_1 \cdot n^{\frac{\log 3}{\log((3/2)+\xi+(2/N))}} < \gamma(n) < c_2 \cdot n^{\frac{\log 3}{\log((3/2)-\xi)}}.$$

Let $\gamma_{a,b}(n)$ denote the number of smooth words of length n over 2-letter alphabet $\{a, b\}$ for positive integers $a < b$, Huang in [10] obtained

Theorem 6. *For any positive real number ξ and positive integer n_0 satisfying $|u|_b/|u| > \xi$ for every LFE word u with $|u| > n_0$, there exist two suitable constants c_1 and c_2 such that*

$$c_1 \cdot n^{\frac{\log(2b-1)}{\log(1+(a+b-2)(1-\xi))}} \leq \gamma_{a,b}(n) \leq c_2 \cdot n^{\frac{\log(2b-1)}{\log(1+(a+b-2)\xi)}}$$

for every positive integer n .

Since there are the minimum height $h_1(n)$ and maximum height $h_2(n)$ of smooth words of length n for each positive integer n , so the lengths of smooth words of the height $h_1(n) - 1$ must be less than n and the length of smooth words of the height $h_2(n) + 1$ must be larger than n . Now we are in a position to use the number of *MRSE*

chains of the suitable height k to bound the number of smooth words of length n , which is simpler than the ones used in [9, 10]. The estimates for the heights of smooth words of length n are borrowed from [10] in the following proof.

Theorem 7. *For any positive number θ and n_0 satisfying $|u|_2/|u| > \theta$ for $|u| > n_0$, there are suitable positive constant c_1, c_2 such that*

$$c_1 \cdot n^{\frac{\log 3}{\log(2-\theta)}} \leq \gamma(n) \leq c_2 \cdot n^{\frac{\log 3}{\log(1+\theta)}} \text{ for any positive integer } n.$$

Proof. It is obvious that

$$|w| \leq |D(w)| + |D(w)|_2 \text{ for each smooth word } w. \quad (15)$$

First, since $|u|_2/|u| > \theta$ for $|u| \geq n_0$, from (15) one has

$$|w| \geq (1 + \theta)|D(w)| \text{ for } |D(w)|_2/|D(w)| > \theta,$$

which implies

$$|D(w)| < \alpha|w| \text{ for } |w| \geq N_0, \quad (16)$$

where N_0 is a suitable fixed positive integer such that $|D(w)| \geq n_0$ as soon as $|w| \geq N_0$, $\alpha = 1/(1 + \theta)$. Since there are finitely many smooth words of length less than N_0 , from (16) we see that there exists a suitable nonnegative integer l such that

$$|D(w)| < \alpha|w| + l \text{ for each smooth word}. \quad (17)$$

Let k_0 be the least integer such that the length of smooth words of height k_0 is larger than $\frac{l}{1-\alpha}$ and r be the smallest length of smooth words of height k_0 . Let k be the height of the smooth words w such that $ht(w) \geq k_0$, then $ht(D^{k-k_0}(w)) = k_0$. So, from (17), we get

$$\begin{aligned} r &\leq |D^{k-k_0}(w)| \\ &< \alpha|D^{k-k_0-1}(w)| + l \\ &< \alpha^2|D^{k-k_0-2}(w)| + \alpha l + l \\ &\dots \\ &< \alpha^{k-k_0}|w| + \alpha^{k-k_0}l + \dots + \alpha^2l + \alpha l + l \\ &< \alpha^{k-k_0}|w| + \frac{l}{1-\alpha}. \end{aligned}$$

Thus

$$(1/\alpha)^{k-k_0} < \frac{|w|}{\lambda}, \text{ where } \lambda = r - \frac{l}{1-\alpha},$$

which means

$$ht(w) = k < \frac{\log |w|}{\log(1/\alpha)} + k_0 - \frac{\log \lambda}{\log(1/\alpha)}.$$

Since there are only finitely many smooth words satisfying $ht(w) < k_0$, so there is a suitable constant t_2 such that

$$ht(w) < \frac{\log |w|}{\log(1/\alpha)} + t_2 \text{ for each smooth word.} \quad (18)$$

Therefore, the maximal height $h_2(n)$ of all smooth words of length n satisfies

$$h_2(n) \leq \frac{\log n}{\log(1 + \theta)} + t_2. \quad (19)$$

Put $k = h_2(n) + 1$, then the length of every smooth word of height k is greater than n , so each smooth word of length n can be right extended to get a *MRSE* chain of height k , which suggests $\gamma(n) \leq |H^k|$. Consequently, from (12) and (19) it follows the desired upper bound of $\gamma(n)$.

Second, since the complement of any smooth word is a smooth word of the same length, the theorem's hypothesis implies that $|D(w)|_1/|D(w)| \geq \theta$, so $|D(w)|_2/|D(w)| \leq 1 - \theta$. From (15) it follows that

$$|w| \leq \beta |D(w)| + q \text{ for each } C^\infty\text{-word } w, \quad (20)$$

where $\beta = 2 - \theta$, q is a suitable positive constant. Thus

$$|w| \leq \beta^{k-1} |D^{k-1}(w)| + q \frac{\beta^{k-1} - 1}{\beta - 1} < 2\beta^{k-1} + \frac{q\beta^{k-1}}{\beta - 1} = (2 + \frac{q}{\beta - 1})\beta^{k-1} = t\beta^{k-1},$$

where $t = 2 + q/(\beta - 1)$, k is the height of $|w|$. Wherefore, the length $|w|$ of a smooth word w with height k is less than $t\beta^{k-1}$ and $k - 1 > (\log |w| - \log t)/\log \beta$. Hence, the smallest height $h_1(n)$ of smooth words of length n meets

$$h_1(n) > \frac{\log n}{\log(2 - \theta)} + t_1, \text{ where } t_1 = 1 - \frac{\log t}{\log \beta}. \quad (21)$$

Then the length of all smooth words with height $m = h_1(n) - 1$ is less than n , which means that the length of the last member *last* (ξ) is less than n for each $\xi \in H^m$. Since each smooth words of length no more than $n - 1$ can be extended right to a smooth word of length n , we see $\gamma(n) \geq |H^m|$. Herewith, from (12) and (21) we get the desired lower bound of $\gamma(n)$. \square

4. Concluding remarks

Let a and b be positive integers of different parities and $a < b$. Lately, Sing in [15] conjectured:

There are positive constants c_1, c_2 such that

$$c_1 \cdot n^\delta \leq \gamma_{a,b}(n) \leq c_2 \cdot n^\delta, \text{ where } \delta = \frac{\log(a+b)}{\log((a+b)/2)}.$$

Theorem 6 means Sing's conjecture should be revised to be of the following form

$$c_1 \cdot n^\theta \leq \gamma_{a,b}(n) \leq c_2 \cdot n^\theta, \text{ where } \theta = \frac{\log(2b-1)}{\log((a+b)/2)}.$$

For 2-letter alphabet $\Sigma = \{a, b\}$ with $a < b$, let $P^j(\varepsilon)$ denote the set of smooth words of height k for $j \in \mathcal{N}$. For $\alpha \in \Sigma$, set

$$\xi_i = \alpha^i \prec \alpha^i \bar{\alpha} \prec \alpha^i \bar{\alpha}^2 \prec \dots \prec \alpha^i \bar{\alpha}^{b-1} \text{ for } 1 \leq i \leq b-1.$$

and

$$H^1 = \{\eta \mid \eta = \xi_i \text{ or } \bar{\xi}_i, i = 1, 2, \dots, b-1\}.$$

Let H^2 denote the set of primitives of the members in H^1 , then it is easy to see H^2 constitutes a partition of $P^2(\varepsilon)$. So continue, we can define the set H^k for each $k \in \mathcal{N}$ and H^k constitutes a partition of $P^k(\varepsilon)$. Using the method similar to Theorem 7, we could establish the corresponding result to Theorem 6.

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